



**The Commonwealth of Massachusetts
Department of Environmental Protection
Bureau of Resource Protection
Drinking Water Program**

**2001 GUIDELINES AND POLICIES
for
PUBLIC WATER SYSTEMS**

Volume 1 – Guidelines

Supported by your Safe Drinking Water Act Assessment.

**This document is available in alternate formats upon request to Bette Stewart, ADA Coordinator,
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2001 Guidelines and Policies for Public Water Systems

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Acknowledgement

The *2001 Guidelines and Policies for Public Water Systems*, initially published in 1979, is modeled after guidelines used in other parts of the country. The Department used the *Recommended Standards for Water Works of the Great Lakes, 1976*, (popularly called the *Ten State Standards*) as a model for form and content after receiving permission from the Upper Mississippi River Board of State Sanitary Engineers. We gratefully acknowledge that the *2001 Guidelines and Policies for Public Water Systems* is based largely on the *Ten State Standards*, with appropriate additions and deletions to reflect Massachusetts' practices and needs. These guidelines incorporate materials from other national organizations including, but not limited to, the U.S. Environmental Protection Agency, Northeast Rural Water Association, Rural Community Assistance Program, and American Water Works Association.

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Introduction

The Massachusetts Department of Environmental Protection (Department) is pleased to publish *2001 Guidelines and Policies for Public Water Systems (Guidelines)*. Last published in 1996, this document is intended to provide guidance to public water suppliers and their employees, Department staff, and the public concerning public drinking water regulatory mandates. Please note that the Department has the authority under MGL, Chapter 111, section 160 to require a specific entity to comply with a guideline.

The Department incorporated several policies into this edition to clarify interpretations of the *Massachusetts Drinking Water Regulations* (310 CMR 22.00), to establish protocols for addressing site-specific problems encountered in the field, and to set the regulatory framework necessary to maintain or improve the public health and welfare.

The *Guidelines* has 11 chapters, each dedicated to a distinct facet of a water supply program. Sections 4.0 and 10.0 are undergoing the most significant revisions since the 1996 edition. These revised sections will be available in 2002. Section 5.0 updates the guidelines on water quality treatment and facility design requirements, including information on several new treatment methods. Chapter 11 is a guidebook to the Capacity Development Program.

Also included in this edition is a description of the Executive Office of Environmental Affairs (EOEA) Watershed Initiative, which focuses on the 27 river basins in Massachusetts (see Appendix L). The Department's Watershed teams are available to assist water suppliers with watershed assessment and protection efforts.

The Department has a main office in Boston and four regional offices in Springfield (Western Regional Office-WERO), Worcester (Central Regional Office-CERO), Wilmington (Northeast Regional Office-NERO), and Lakeville (Southeast Regional Office-SERO). Appendix H shows the regional boundaries and lists the cities and towns in each region. Contact numbers for drinking water are:

Boston	617.292.5570	FAX 617.292.5696
WERO	413.784.1100	FAX 413.784.1149
CERO	508.792.7650	FAX 508.792.7621
NERO	978.661.7600	FAX 978.661.7615
SERO	508.946.2700	FAX 508.947.2835

Should questions arise during your use of this document, please contact the Boston Office or the Regional Office for your community.

The *Guidelines* are available from the Department's Web site at www.state.ma.us/dep, or may be purchased from the State Bookstores in Boston (617.727.2834) and Springfield (413.784.1376).

Definitions*

Accounting Consistency: Using the same accounting principles during the current period as used in the immediately preceding period.

Accountability Controls: Control procedures that fix responsibility for the custody for asset documents or accounting records.

Accounts Receivable: An asset account reflecting monies owed to an organization from private persons/organizations for goods and services.

Annual Financial Review: A yearly examination of the public water system's financial statements.

Approved Yield: The maximum volume of water that may be pumped from a groundwater source in any 24-hour period, as approved by the Department. The approved yield may be pumped from the source in less than 24 hours under safe yield conditions, and with the Department's approval. The approved yield may never exceed the safe yield, and is equivalent to the approved pumping rate x 1440 minutes/day.

Asset: Something that has commercial or exchange value and is owned by a public water system.

Auditing: A systematic process of objectively obtaining and evaluating evidence regarding statements, that are often communicated to interested users.

Audited Financial Statements: Documents produced by a Certified Public Accountant/accounting professional after reviewing financial records; usually prepared annually.

Balance Sheet: Itemized statement that lists a system's total assets and liabilities to portray net worth at a particular time.

Bank: See 310 CMR 22.

Betterment: An addition or change to a fixed asset that is expected to increase its life or efficiency above general maintenance.

Betterment Fee: A fee that is charged to cover the costs of a specific capital improvement.

Capacity Development: The process whereby public water systems acquire and maintain adequate technical, managerial, and financial capabilities to provide safe and affordable drinking water.

Capital: Funds necessary to establish or operate a public water system.

Capital Budget: Estimated expenditures for capital items in a fiscal period.

Cost-Benefit Analysis: Comparing the costs of providing a service or product with the financial benefit. In auditing, cost-benefit analysis is applied in selecting among alternate procedures for achieving stated audit objectives. It is also applied in determining whether or not to test control procedures to lower the assessed level of control risk.

Debt: An obligation resulting from the borrowing of money or from the purchase of goods and services.

Debt Financing: Raising funds for a public water system by borrowing monies from a bank or lending organization.

Debt Limit Ceiling: The legal maximum debt-incurring power of a state or locality. Debt limits are often imposed by constitutional, statutory, or local charter provisions.

Debt Service: The amount of money needed to pay interest and principal charges on an outstanding debt.

Department: The Department of Environmental Protection of the Commonwealth of Massachusetts.

Drinking Water State Revolving Fund (DWSRF): Funds appropriated by Congress to provide seed money for states to create their respective DWSRF. Funds are loaned to PWS for system improvements.

Easement: An easement is a legal restriction contained within a deed that prohibits or allows certain land uses in perpetuity.

Estimated Useful Life: The period during which an asset is expected to be useful.

Financial Capacity: A water system's ability to acquire and manage sufficient financial resources to achieve and maintain compliance with SDWA requirements. The financial resources of the water system include, but is not limited to, the revenue sufficiency, credit worthiness, and fiscal controls

Financial Statement: Written account of the financial condition of a company that includes a balance sheet and income statement.

Full Cost Accounting: A method of financial and management accounting that allocates all direct and indirect historical costs to a product or process.

Full Cost Recovery: Full cost recovery means charging fees to cover all costs incurred by a particular activity or service.

Groundwater: See 310 CMR 22.02.

Interim Wellhead Protection Area (IWPA): See 310 CMR 22.02 and *Appendix D* of this document.

Inventory of Capital Assets: Record of capital assets used as benchmark data in capital planning; usually developed over time.

Managerial Capacity: The ability of a water system to conduct its affairs in a manner enabling the system to achieve and maintain compliance with SDWA requirements. It is the system's institutional and administrative capabilities including ownership accountability, staffing and organization, and effective external linkages.

Net Available Revenue: Total Water Revenues – O & M expenses (Cash available to pay debt service expense after current O & M expenses are paid.)

O & M Expenses: Direct compensation + Benefits + Energy + Chemicals + Materials & Supplies + Outside Lab Services + Federal Taxes + State Taxes + Local Taxes. Exclude depreciation, primary business expenses, interest payments, principal payments, other debt service, capacity improvement, advanced contributions to sinking funds, and other expenses.

Per-Capita Residential Use: Residential use divided by the total population received.

Public Water System (PWS): See 310 CMR 22.02.

Pump Capacity: A pump's maximum pumping rate cannot exceed the approved yield of a well expressed in gpm (approved yield / 1440 min/day) by more than a factor of 1.5 unless the Department approves an increase.

Regulations: The Drinking Water Regulations of Massachusetts, 310 CMR 22.00.

Revenue Requirements: The sum total of the revenue required to pay all operating and capital costs of providing service.

Safe Drinking Water Act (SDWA): A federal law, passed in 1974 and amended in 1986 and 1996, enacted to protect public health and the nation's public drinking water supply.

Sanitary Survey: A review, inspection, and assessment of a public water system by the Department, including but not limited to: source, facilities, equipment, administration and operation, maintenance procedures, monitoring, record keeping, planning documents and schedules, and management practices. The purpose of the survey is to evaluate the adequacy of the water system for producing and distributing safe and adequate drinking water.

Saturated Zone: See 310 CMR 22.02.

Segregation of Duties/Divided Responsibility: An internal control procedure whereby work on various financial tasks is distributed among numerous employees.

Source Approval Process: The step-by-step process used by the Department of Environmental Protection, culminating in the development of a public water source.

Spring: A natural discharge point where groundwater issues from soil or rocks in concentrated flow. Sources are not considered springs if mechanical methods are used to induce water; the collection system must not hydraulically affect the water table. Public water supply springs will be perennial springs of nonthermal origin.

Supplier of Water: See 310 CMR 22.02.

Technical Capacity: The physical and operational ability of a water system to meet SDWA requirements. Technical capacity refers to the physical infrastructure of the water system, including the adequacy of source water and the adequacy of treatment, storage, and distribution infrastructure. It also refers to the ability of system personnel to operate and maintain the system adequately.

Total Operating Revenues: Water Sales + Other water related revenues (connection fees, inspection fees, developer fees, usage fees, other fees and general fund revenues) Excludes interest earned, primary business revenues, fines/ penalties, and other water related revenues.

Tributary: See 310 CMR 22.02.

Watershed: See 310 CMR 22.02.

Well Safe Yield: The safe yield is the volume of water the well is capable of yielding based on the available water as defined by DWP. The safe yield must always be equal to or higher than the approved yield.

Zone A: Refer to 310 CMR 22.02.

Zone B: Refer to 310 CMR 22.02.

Zone C: Refer to 310 CMR 22.02.

Zone I: Refer to 310 CMR 22.02.

Zone II: Refer to 310 CMR 22.02.

Zone III: Refer to 310 CMR 22.02.

* Definitions should be used in conjunction with definitions in the Massachusetts Drinking Water Regulations, 310 CMR 22.00.

Abbreviations

ACOE	Army Corps of Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
AWWA	American Water Works Association
BRP	Bureau of Resource Protection
CMR	Code of Massachusetts Regulations
DCPO	Department of Capital Planning and Operations
DEM	Department of Environmental Management
DEP	Department of Environmental Protection
DFWELE	Department of Fisheries, Wildlife, and Environmental Law Enforcement
DWS	Division of Water Supply
EIR	Environmental Impact Report
ENF	Environmental Notification Form
EOEA	Executive Office of Environmental Affairs
EPA	Environmental Protection Agency
fps	Feet per second
gpcd	Gallons per-capita per day
gpd	Gallons per day
gpm	Gallons per minute
mgd	Million gallons per day
MGL	Massachusetts General Laws
MEPA	Massachusetts Environmental Policy Act
MPA	Microscopic particulate analysis
NBFU	National Board of Fire Underwriters
NPDES	National Pollutant Discharge Elimination System
NTNC	Non-Transient Non-Community Public Water System
ORS	Office of Research and Standards
OSHA	Occupational Safety and Health Administration
USGS	United States Geological Survey
SDWA	Safe Drinking Water Act
SWTR	Surface Water Treatment Rule
TNC	Transient Non-Community Public Water System